

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**  
**UTILITY APPLICATION AND FEE TRANSMITTAL (1.53(b))**

COMMISSIONER FOR PATENTS  
**BOX PATENT APPLICATION**  
Washington, D.C. 20231

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s) names and addresses:

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☐ Additional inventors are listed on a separate sheet

For: **PROCESS AND APPARATUS FOR CONVERTING OIL SHALE OR TAR  
SANDS TO OIL**

Enclosed Are:

32 page(s) of specification  
1 page(s) of Abstract  
8 page(s) of claims  
9 sheets of ☒ Formal ☐ Informal drawings

18 page(s) of Declaration and Power of Attorney

- ☐ Unsigned  
☐ Newly Executed  
☒ Copy from prior application  
☐ Deletion of inventors including Signed Statement under 37 C.F.R. §1.63(d)(2)

☒ **Incorporation by Reference:**

- ☒ The entire disclosure of the prior application, from which a copy of the combined Declaration and Power of Attorney is supplied herein, is considered as being part of the disclosure of the accompanying application and is incorporated herein by reference.

☐ Microfiche Computer Program (Appendix)

- ☐ page(s) of Sequence Listing  
☐ computer readable disk containing Sequence Listing  
☐ Statement under 37 C.F.R. §1.821(f) that computer and paper copies of the Sequence Listing are the same

☒ Assignment Papers (assignment cover sheet and assignment documents)

- ☐ A check in the amount of \$40.00 for recording the Assignment  
☐ Charge the Assignment Recordation Fee to Deposit Account No. 13-4500  
Order No. \_\_\_\_\_.  
☒ Assignment Papers filed in the application Serial No. 09/058,184 and  
Continuation-in-part application Serial No. 09/522,475.

☐ Certification of chain of title pursuant to 37 C.F.R. §3.73(b)

☐ Priority is claimed under 35 U.S.C. §119 for:  
Application No(s). \_\_\_\_\_, filed \_\_\_\_\_, in \_\_\_\_\_ (country).

- ☐ Certified Copy of Priority Document(s) [ \_\_\_\_\_ ]  
☐ filed herewith  
☐ filed in application Serial No. \_\_\_\_\_, filed \_\_\_\_\_.

- ☐ English translation document(s) [ \_\_\_\_\_ ]  
☐ filed herewith  
☐ filed in application Serial No. \_\_\_\_\_, filed \_\_\_\_\_.

☐ Priority is claimed under 35 U.S.C. §119(e) for:  
Provisional Application No. \_\_\_\_\_, filed \_\_\_\_\_.

☐ Priority is claimed under 35 U.S.C. §120 for:  
Application No(s). \_\_\_\_\_, filed \_\_\_\_\_, in US.

☐ Information Disclosure Statement

- ☐ Copy of [ \_\_\_\_\_ ] cited references  
☐ PTO Form-1449  
☐ References cited in parent application Serial No. \_\_\_\_\_, filed \_\_\_\_\_.

☒ Preliminary Amendment

☒ Return receipt postcard (MPEP 503)

☒ This is a ☐ continuation ☒ divisional ☐ continuation-in-part of prior continuation-in-part Serial No. 09/522,475 filed on March 9, 2000, which is a continuation-in-part of application Serial No. 09/058,184 filed on April 10, 1998, now U.S. Patent No. 6,139,722, which is a continuation-in-part of application Serial No. 08/843,178, filed on April 14, 1997, now U.S. Patent No. 5,902,554, which in turn is a division of application Serial No. 08/551,019, filed October 31, 1995, now U.S. Patent No. 5,681,452, each of which is hereby incorporated herein by reference.

☒ Cancel in this application original claims 1-22 of the parent application Serial No. 09/522,475 before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)

- ☐ A Preliminary Amendment is enclosed. (Claims added by this Amendment have been properly numbered consecutively beginning with the number following the highest numbered original claim in the prior application).
- ☒ The status of the parent application is as follows:
- ☐ A Petition for Extension of Time and a Fee therefor has been or is being filed in the parent application to extend the term for action in the parent application until \_\_\_\_.
- ☐ A copy of the Petition for Extension of Time in the co-pending parent application is attached.
- ☒ No Petition for Extension of Time and Fee therefor are necessary in the co-pending parent application.
- ☐ Please abandon the parent application at a time while the parent application is pending or at a time when the petition for extension of time in that application is granted and while this application is pending has been granted a filing date, so as to make this application co-pending.
- ☐ Transfer the drawing(s) from the parent application to this application
- ☐ Amend the specification by inserting before the first line the sentence:

I. CALCULATION OF APPLICATION FEE				
	Number Filed	Number Extra	Rate	Basic Fee \$ 370.00
Total Claims	11 - 20 =	0 x	\$18.00/\$9.00	\$ 00.00
Independent Claims	1 - 3 =	0 x	\$84.00/\$42.00	\$ 00.00
<input type="checkbox"/> Multiple Dependent Claims		If marked, add fee of \$270.00 (\$135.00)		\$ 00.00
TOTAL:				\$ 370.00

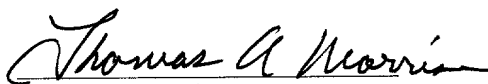
- ☒ A statement claiming small entity status is attached or has been filed in the above-identified parent application and its benefit under 37 C.F.R. §1.28(a) is hereby claimed. Reduced fees under 37 C.F.R. §1.9 (f) paid herewith \$ 370.00.
- ☐ A check in the amount of \$ \_\_\_\_\_ in payment of the application filing fees is attached.
- ☒ Charge fee to Deposit Account No. 13-4500 Order No. 3495-7000US3. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required for filing this application pursuant to 37 CFR §1.16, including all extension of time fees pursuant to 37 C.F.R. § 1.17 for maintaining copendency with the parent application, or credit any overpayment to Deposit Account No. 13-4500, Order No. 3495-7000US3. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,  
MORGAN & FINNEGAN, L.L.P.

Dated: November 16, 2001

By:



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